



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/971,095	10/03/2001	Igal Ladabaum	TMC# SC-007 (U)

CONFIRMATION NO. 2110

## FORMALITIES LETTER



\*OC000000007042215\*

Pillsbury Winthrop, LLP  
1600 Tysons Boulevard  
McLean, VA 22102

Date Mailed: 11/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$186.
  - \$144 for 16 total claims over 20.
  - \$42 for 1 independent claims over 3 .
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 621.

*A copy of this notice MUST be returned with the reply.*

*Charthy Young*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED EXAMINER 00000101 09971095

370.00 OP  
65.00 OP  
144.00 OP  
42.00 OP

## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)In re PATENT APPLICATION of  
Inventor(s): Igal Ladabaum, et al.

Attn: Application Division

Appl. No.: 09 971,095 ✓ Atty.Dkt. 016132 0274779 SC-007(U)  
Series Code ↑ Serial No. ↑ M# Client Ref

Filed: October 3, 2001

Title: Microfabricated Ultrasonic Transducer with Suppressed Substrate Modes

Hon. Commissioner of Patents  
Washington, DC 20231

Date: December 14, 2001

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☐ Signed Declaration attached. ☐ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. #  pages of Specification (only spec. & claims)
- c. ☐ Drawing(s)
- ☐ Fig(s).
- No of Sheets
- Ref. In. Ref: 12/20/2001 BARRANAI 003111000  
DR: 033975 Name/Number: 0971095  
FC: 704 \$40.00 CR
4. ☐ Letter filing formal drawing attached.
5. ☐ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/242,298	October 19, 2000	(2)	
(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in \_\_\_\_\_

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(f)

9. \_\_\_\_\_ (No.) Certified copy (copies): \_\_\_\_\_ ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ ☐ is Not claimed ☒ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . . Design Application				\$330/\$165		106/26
Not Design Application				\$740/\$370	+370	101/201
14. Total Effective Claims	36	minus 20 =	16	x \$18/\$9	+144	103/203
15. Independent Claims	4	minus 3 =	1	x \$84/\$42	+42	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+65	105/205
18. FILING FEE ENCLOSED =				\$621		
19. Original due date:						
20. Petition is hereby made to extend the <u>original</u> due date to				(1 mo) \$110/\$55 =	+0	115/215
cover the date this response is filed for which the requisite fee				(2mos) \$400/\$200 =		116/216
is attached				(3mos) \$920/\$460 =		117/217
				(4mos) \$1,440/\$720 =		118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee . . . . .				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. TOTAL FEE ENCLOSED =				\$661		

Our Deposit Account No. 03-3975

Our Order No. 016132

0274779

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

The PTO did not receive the following  
listed item(s) Assignment

Pillsbury Winthrop LLP  
Intellectual Property Group

1600 Tysons Boulevard  
McLean, VA 22102  
Tel: (703) 905-2000

By Atty: David A. JakopinReg. No. 32995Sig: [Signature]

Fax: (650) 233-4545  
Tel: (650) 233-4790

Atty/Sec: DAJ/dld

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments****CERTIFICATE OF MAILING**

I, Diana Dearing, certify that this paper (and any attachments) is being deposited with the U. S. Postal Service, Express Mail #EL722881748US, postage prepaid, in an envelope addressed to Commissioner of Patent, Box Missing Parts, Washington, D.C. 20231, on December 19, 2001.

[Signature]